

I hereby certify that this paper is being deposited in the United States Postal Service as first class mail in an envelope addressed: Assistant Commissioner of Patent and Trademarks, Washington, D.C. 20231 on February 17, 2000.

Lisa M. Nash

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Susan W. Barnett et al.

Serial No.: 09/475,704 Group Art Unit: to be assigned

Filed: December 30, 1999 Examiner: to be assigned

For: POLYNUCLEOTIDE ENCODING ANTIGENIC HIV TYPE C  
POLYPEPTIDES, POLYPEPTIDES AND USES THEREOF

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

CHIRON CORPORATION

(Name of Assignee)

Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above.  
The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_,  
Frame \_\_\_\_\_, or for which a copy thereof is attached.
- OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above  
to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet.

[X] Copies of assignments or other documents in the chain of title are attached.


[NOTE: A separate copy (*i.e.*, the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 4/16/00

Name: Anne S. Dollard

Title: Assistant Secretary, CHIRON CORPORATION

Signature: 



PATENT  
Atty. Docket No. 1631.002

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Susan W. Barnett et al.

Serial No.: 09/475,704

Group Art Unit: to be assigned

Filed: December 30, 1999

Examiner: to be assigned

For: POLYNUCLEOTIDES ENCODING ANTIGENIC HIV TYPE C  
POLYPEPTIDES, POLYPEPTIDES AND USES THEREOF

**ASSIGNMENT DOCUMENT COVER LETTER**

Box Assignment  
Assistant Commissioner for Patents  
Washington, D.C. 20231

1. The accompanying assignment covers the patent or application identified above.

X No other patents or applications are covered by the assignment.

— Other patents and/or applications covered by the assignment as shown on the  
attached LIST OF PATENTS AND/OR APPLICATIONS COVERED BY  
ASSIGNMENT.

**NAMES OF PARTY MAKING TRANSFER**

2. Name 1: Susan W. Barnett  
Name 2: Jan zur Megede

I hereby certify that this correspondence is being  
deposited with the United States Postal Service as  
First Class mail in an envelope addressed to: Assistant  
Commissioner for Patents, Washington, D.C. 20231,

on this 15 day of February, 2000.

By Susan Barnett



PATENT  
Atty. Docket No. 1631.002

**IDENTITY OF PARTY TO WHOM TRANSFER IS MADE**

3. Transfer is being made to:

Chiron Corporation  
4560 Horton Street - R440  
Emeryville, CA 94608-2916  
United States of America

**INTENTION OF DOCUMENT**

4. The accompanying document is an:

<u>  X  </u>	Assignment (original)	<u>      </u>	License
<u>      </u>	Security Interest	<u>      </u>	Other

  X   Execution Date(s): February 7, 2000, and February 11, 2000

**FEE PAYMENT**

5. Total fee due \$40.00

       Charge Deposit Account No. 03-1664 in the sum of \$40.00.

  X   Enclosed is a check for \$40.00.

  X   The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to Deposit Account No. 03-1664. THIS IS NOT AN AUTHORIZATION FOR PAYMENT OF ANY ISSUE FEES.



PATENT  
Atty. Docket No. 1631.002

**ADDRESS TO WHICH DOCUMENT SHOULD BE RETURNED  
AFTER RECORDAL BY PTO**

6. Please return the recorded document to:

CHIRON CORPORATION  
Intellectual Property - R440  
P.O. Box 8097  
Emeryville, California 94662-8097  
United States of America

**STATEMENT BY THE PARTY**

7. I hereby submit that, to the best of my knowledge and belief, the information contained herein is true and correct and any copy submitted herewith is a true and correct copy of the original document.

Respectfully submitted,

By: 

Anne S. Dollard  
Attorney for Applicants  
Reg. No. 43,935

February 15, 2000

CHIRON CORPORATION  
Intellectual Property - R440  
P.O. Box 8097  
Emeryville, California 94662-8097  
(510) 923-2719  
(510) 655-3542 (fax)

Total number of pages comprising cover sheet: 7 (Cover Letter plus Original Assignment)

**ASSIGNMENT**

*WHEREAS*, We, Susan W. Barnett and Jan zur Megede, hereinafter referred to as *ASSIGNORS*, have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: POLYNUCLEOTIDES ENCODING ANTIGENIC HIV TYPE C  
POLYPEPTIDES, POLYPEPTIDES AND USES THEREOF

Date(s) of Execution: February 7, 2000      Filing Date: December 30, 1999  
February 11, 2000

Serial No: 09/475,704

*WHEREAS*, CHIRON CORPORATION, 4560 Horton Street, Emeryville, California 94608-2916, a corporation of the State of Delaware, hereinafter referred to as *ASSIGNEE*, is desirous of acquiring the entire right, title and interest in the above invention and application and in any Letters Patent which may be granted on the same;

*NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN*: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to *ASSIGNORS* by *ASSIGNEE*, receipt of which is hereby acknowledged, *ASSIGNORS* have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said *ASSIGNEE*, and *ASSIGNEE'S* successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. §119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said *ASSIGNEE* as fully and exclusively as it would have been held and enjoyed by said *ASSIGNORS* had this assignment and transfer not been made, to the full end and term of any Letters Patent.

*ASSIGNORS* also agree that the U.S. application number may be entered above by *ASSIGNEE* or its agents upon designation of the application number by the U.S. Patent and Trademark Office.

*ASSIGNORS* further agree that they will, without charge to said *ASSIGNEE*, but at *ASSIGNEE'S* expense, cooperate with *ASSIGNEE* in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as *ASSIGNEE* lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said *ASSIGNEE*, or *ASSIGNEE'S* successors and assigns.

IN TESTIMONY WHEREOF, *ASSIGNORS* have hereunto signed their names to this assignment on the dates indicated below.

DATE 2/7/00

Susan W. Barnett  
Susan W. Barnett

DATE 2/11/00

Jan zur Megede  
Jan zur Megede

# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

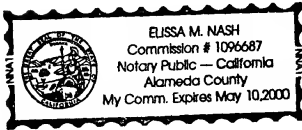
State of California

County of Alameda

On February 7, 2000 before me, Elissa M. Nash  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Susan W. Barnett  
Name(s) of Signer(s)

☐ personally known to me – OR – ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Elissa M. Nash  
Signature of Notary Public

## OPTIONAL

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

### Description of Attached Document

Title or Type of Document: Assignment for Case No. 1631.002

Document Date: \_\_\_\_\_ Number of Pages: \_\_\_\_\_

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer(s)

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

Signer Is Representing:  
\_\_\_\_\_  
\_\_\_\_\_

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

Signer Is Representing:  
\_\_\_\_\_  
\_\_\_\_\_



# CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

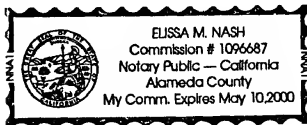
State of California

County of Alameda

On February 11, 2000 before me, Elissa M. Nash  
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Jan zur Megede  
Name(s) of Signer(s)

- ☐ personally known to me – OR – ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Elissa M. Nash  
Signature of Notary Public

## OPTIONAL

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

### Description of Attached Document

Title or Type of Document: Assignment

Document Date: \_\_\_\_\_ Number of Pages: 2

Signer(s) Other Than Named Above: \_\_\_\_\_

### Capacity(ies) Claimed by Signer(s)

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing:  
\_\_\_\_\_  
\_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here

Signer's Name: \_\_\_\_\_

- ☐ Individual  
☐ Corporate Officer  
Title(s): \_\_\_\_\_  
☐ Partner — ☐ Limited ☐ General  
☐ Attorney-in-Fact  
☐ Trustee  
☐ Guardian or Conservator  
☐ Other: \_\_\_\_\_

Signer Is Representing:  
\_\_\_\_\_  
\_\_\_\_\_

RIGHT THUMBPRINT  
OF SIGNER  
Top of thumb here